

ANNEX A DIRECTION AND CONTROL

I. SITUATION AND ASSUMPTIONS

- A. In the event of a major emergency or disaster in the Commonwealth, affected local communities will require support and assistance in mitigation, response and recovery efforts. Agencies of state government, along with private relief agencies, will provide support to local governments to restore essential services.
- B. In the event of a threatened, or actual, usage of weapons of mass destruction, state and local government must perform the missions of warning, evacuating, sheltering, protecting from the threat, treating the injured, returning evacuees, restoring essential services and rehabilitating property.

II. MISSION

The mission of state government is to provide staff, facilities and procedures for the coordination of state, local, federal and private response agencies during an impending or existing emergency or disaster; and to assist the Governor in formulating policy, establishing priorities, gathering and analyzing information, monitoring the execution of plans, and directing response and recovery operations as necessary.

III. DIRECTION AND CONTROL

- A. The Director, under the general direction of the Adjutant General of the Department of Military Affairs, is responsible for overall coordination of state government operations with state agencies, local and federal governments, and volunteer relief organizations. The Director will ensure a timely, coordinated emergency response to any disaster situation within Kentucky.
- B. Each state, federal and private agency involved in emergency/disaster response will appoint an Agency Coordinator to coordinate emergency activities of their respective agencies with the Division of Emergency Management (KyEM) at the State EOC on Boone National Guard Center in Frankfort.
- C. At other than state level, the direction of emergency operations will be exercised at the lowest level of government affected.

IV. CONCEPT OF OPERATIONS

- A. When more than two state agencies respond to an emergency or disaster, KyEM shall coordinate the response operations of the agencies involved if the incident is managed by state personnel.
 - 1. Local authorities should contact the KyEM Area Managers when state assistance is required to cope with an emergency. See Appendix A-4 for a

listing of Area Managers and telephone numbers.

2. If the Area Manager cannot be reached, the KyEM Duty Officer is available twenty-four hours a day to relay requests for assistance and to coordinate state response. The Duty Officer telephone number is listed in Appendix A-2.
 3. The KyEM Duty Officer has the necessary resources to contact state, federal and private agencies for support and to gather required information.
 4. The KyEM Duty Officer will remain cognizant of the situation and will route requests for support to the proper agencies as required. As necessary, the Area Manager will coordinate at the scene and act as liaison between local and state governments. The Area Manager may also serve as liaison between federal and state officials and may act as public information spokesman for state government.
- B. Should a disaster, or the potential for a disaster, be of such severity that close coordination of operations is required, KyEM will activate the State Emergency Operations Center (EOC), and;
1. Agency Coordinators will report to the EOC as required when notified by KyEM. Agencies with EOC Coordinators are listed in Appendix A-2.
 2. The EOC will normally provide Agency Coordinators with communications to the disaster site and with their agency personnel and facilities.
 3. The KyEM EOC Standard Operating Procedures (EOC-SOP's) describe the activation, staffing and operations of the EOC.
 4. If the EOC in Frankfort is unusable, an alternate EOC can be established at the Kentucky Department of Transportation Department Operations Center (DOC), or at the University of Kentucky. The process used to activate an EOC at this location is outlined in Appendix A-9.
 5. In the event of a state or national emergency, state government offices in Frankfort may be relocated to Bowling Green or Morehead, (see Appendix A-8).
- C. The State EOC will serve as the Commonwealth's coordinating location for the allocation of state and mutual aid resources to the scene of a disaster. The state EOC will work through the local EOC to insure that there is a legitimate need for the resource at the incident scene. The local EOC will coordinate its actions with the disaster site's National Incident Management System (NIMS) Incident Commander. The State EOC will serve as the clearinghouse for news releases, public information releases, and preparation and issuing of a situation report.

- D. The State EOC will serve as the Commonwealth's coordinating link with the Federal Joint Field Office (JFO) during federal declared disasters.
- E. Various state agencies and cabinets have established their own Department Operations Center (DOC). The DOCs will control allocation of their cabinet/department resources as directed by the State EOC. The DOC will allocate their cabinet or agencies resources only within the overall guidance of the State EOC.
- F. The Kentucky Office of Homeland Security (KyOHS) will operate the Commonwealth's Fusion Center. The Fusion Center will collect all situational information concerning on going activities within Kentucky from all state cabinets and agencies. The KyOHS will provide the Governor, State EOC, and other cabinets and agencies with daily summaries of trends and incidents within Kentucky that are relevant to their mission.
- G. The KyOHS will act as the liaison between the Federal Joint Operations Center (JOC) and the state EOC during periods that the JOC is activated.
- H. The State EOC will serve as the coordinating point for all news media releases concerning an incident as described in Annex E "Public Information". All information to be released to the public arising from information developed within the NIMS cell, a DOC, the Fusion Center, JOC, or JFO will be released through the State EOC PIO to insure that the Commonwealth speaks with one voice.
- I. KY Division of Emergency Management has fourteen Area Offices across the state. The Area Manager assists local government with emergency preparedness activities. During emergency situations the Area Manager will coordinate state response within the area. Assistance requests from local government and outside agencies will be made through the Area Manager. During emergencies within the area, in which state resources are involved, the Area Manager will maintain close contact with the Duty Officer/EOC to relay information and requests for assistance from local authorities or other agencies.
- J. Following a catastrophic emergency/disaster, the National Response Plan will be implemented. This plan has applications in a variety of disasters that result in the need for substantial federal assistance. A Disaster Field Office (DFO) may be established as close to the scene as possible, (see Appendix A-6 for details).
- K. The EOC has an Emergency Communications Center equipped to provide the agencies and officials with communications to their offices, field units, disaster sites, and other locations as required. Systems include: commercial and government telephone systems; facsimile machine; state, federal and military radio circuits; and the amateur radio service, (see Annex B).
- L. A reporting system to collect, evaluate and disseminate factual reports of existing conditions to all levels of government will be operated at the state EOC. Collection and dissemination of reports will be done by facsimile, phone and

radio. KyEM will also maintain computer databases of EOC message flow, assistance requests and situation reports received, (Annex U, Emergency Operations Reporting System, details this system).

V. APPENDICES

- A. A-1 Continuity of Government
- B. A-2 Agency Coordinators
- C. A-3 State Emergency Organization/State Government Organization
- D. A-4 KyEM Area Managers (Map of Areas of Responsibility)
- E. A-5 State Emergency Operations Center and Map of Boone Center
- F. A-6 National Response Plan
- G. A-7 National Incident Management System
- H. A-8 Relocation of State Government
- I. A-9 Relocation of the State Emergency Operations Center
- J. A-10 KyEM Alternate Area Offices

APPENDIX A-1 CONTINUITY OF GOVERNMENT

I. SITUATION AND ASSUMPTIONS

- A. A major disaster could result in the death or injury of key officials of government, and the partial or complete destruction of established seats of government. A disaster could also cause the loss of public and private records essential to the continued operations of government and the economy.
- B. The majority of state government offices are located in Frankfort. However, various state agencies have field offices located throughout the state. Those agencies with field offices could, if necessary, operate independently of their central offices.
- C. Local governments are, by virtue of the Constitution of Kentucky, autonomous in nature. However, such governments are mandated by KRS Chapter 39 to assure that provisions are made for continuity of government and effective operations during emergencies within those jurisdictions.

II. MISSION

Provide continuity of government and maintain essential services to all citizens during emergencies, disasters, and war related crisis. This appendix outlines measures for ensuring the continuity of state and local governments. Continuity of government requires the preservation of functioning government institutions. State and local officials must address concerns such as official succession, pre-delegation of emergency authorities, safekeeping of essential records, creation of a secure Emergency Operations Center, alternate command facilities, and protection of government personnel and resources.

III. CONCEPT OF OPERATIONS

A. STATE GOVERNMENT

1. Line of Succession for Governor

In the event the Office of the Governor becomes vacant, the office will be assumed by the Lieutenant Governor. If the Office of Lieutenant Governor is vacant, the President of the Senate will then assume the Office of Governor. If there is no President of the Senate, the Attorney General shall convene the Senate to choose a new President. Until the President is chosen, the Attorney General shall administer the government. If there is no Attorney General the Auditor shall convene the Senate for the purpose of choosing a President, and shall administer the government until a President is chosen.

2. General Assembly

The General Assembly is the legislative branch of state government and, as such, its continuation is essential. The General Assembly is composed of a House of Representatives and a Senate. If the General Assembly is should be in session during the disaster, the Governor may convene it at another place or adjourn it for not more than four months. If not in session, its members should await possible call into Special Session by the Governor. The House of Representatives is presided over by a Speaker who is chosen by the membership of the House. The Lieutenant Governor presides over the Senate. Provision is made for the election or a President Pro Tempore by the Senate, who shall act as president of that body in case of death, resignation, absence, or inability or the Lieutenant Governor to serve in that capacity.

3. Kentucky Court System

- a. The Kentucky Court System is a coordinate branch of state government. Its preservation and the continuation of its functions are necessary for the maintenance of constitutional government.
- b. The Supreme Court and the subordinate courts (Appeals, Circuit and District) must also be maintained.
- c. A vacancy in the office of a Justice of the Supreme Court, or of a Judge of the Court of Appeals, Circuit or District Court, which under Section 152 of the Kentucky Constitution is to be filled by appointment by the Governor, shall be filled by the Governor from a list of three names presented to him by the appropriate Judicial Nominating Commission. If the Governor fails to make an appointment from the list within sixty (60) days from the date it is presented to him, the Chief Justice of the Supreme Court shall make the appointment from the same list.

4. Lieutenant Governor

The Lieutenant Governor is next in line of succession to the Governor, and the presiding officer of the State Senate. The role as legislative officer will require that the Lieutenant Governor be with the General Assembly, if convened. If the General Assembly is not in session, the Lieutenant Governor should assist the Governor in order to be fully informed of the situation in the Commonwealth, in case the Lieutenant Governor must assume the Office of Governor.

5. Attorney General

- a. The Attorney General, a Constitutional officer, is legal advisor to the Governor and to all state officers and agencies, and is chief legal advisor to the political subdivisions of the state. These functions are essential during disaster and recovery periods to insure the continuation of civil

authority in the state and assist emergency management functions.

- b. Succession of command within the Office of the Attorney General is in accordance to Section 152 of the Kentucky Constitution. The Chief Deputy Attorney General will serve until a new Attorney General is appointed.

6. Auditor of Public Accounts

- a. This constitutional officer is responsible for ensuring that funds are used in compliance with State laws and regulations. The Auditor's duties will be exercised in the recovery period.
- b. Succession of command within the office is in accordance with KRS 43.030. The Assistant Auditor will serve until a new State Auditor is appointed.

7. Secretary of State

- a. This constitutional office is responsible for attesting executive orders by affixing the Seal of the Commonwealth and acting as custodian of the state's laws and executive orders.
- b. This office is also charged with convening the Senate to choose a President Pro Tempore of the Senate, when necessary. If there is a vacancy in the Office of the Governor, Lieutenant Governor and President Pro Tempore of the Senate, the Secretary of State administers state government until the Senate chooses a President Pro Tempore.
- c. Succession of command within the office is in accordance to KRS 14.020. The Assistant Secretary of State will serve until a new Secretary of State is appointed.

8. Treasurer

- a. The Treasurer is a constitutional officer who is custodian of all state funds and has the authority for distribution of state funds.
- b. In the event the Treasurer is unable to fulfill the duties of the office, the Assistant Treasurer will assume the responsibilities of the Treasurer.

9. Commissioner of Agriculture

- a. The Commissioner of Agriculture is a constitutional officer responsible for agricultural resources in the state.
- b. The Deputy Commissioner will succeed the Commissioner.

10. Adjutant General

The Governor shall appoint an Adjutant General and other staff officers; the generals and commandants of regiments and battalions shall respectively appoint their staff officers, and the commandants of companies shall, subject to the approval of their regimental or battalion commanders, appoint their noncommissioned officers. The Governor shall have power to fill vacancies that may occur in elective offices by granting commissions that shall expire when such vacancies have been filled according to the provisions of the Constitution. The Adjutant General will be succeeded by the Assistant Adjutant General, the Deputy Adjutant General, or the Chief of Staff of the Kentucky National Guard.

11. Executive Director/Office of Homeland Security

The Executive Director of the Office of Homeland Security (KyOHS) will insure coordinated flow of information to and from the State EOC Cabinet Secretaries and the Governor's Office when the National Response Plan is implemented.

B. LOCAL GOVERNMENT

1. County Judge/Executives and Mayors

- a. The County Judge/Executives and Mayors are the Chief Executives of local jurisdictions. The County Judge/Executives and Mayors are authorized and directed by law to:
 - 1) Make rules and regulations.
 - 2) Prepare a comprehensive disaster preparedness plan for the county/city, compatible with the plans of the state and federal governments.
 - 3) Catalogue survival resources of the county and city, plus plan for the procurement of supplies to meet the public's needs.
 - 4) Initiate training and public information programs.
 - 5) Utilize services, facilities and supplies of local government and private organizations. Establish agencies and offices, appoint personnel, and delegate authority under which such agencies and officials shall operate.
 - 6) Enter into mutual aid agreements or compacts with other counties/cities, or private agencies, within the Commonwealth.

- 7) Delegate any authority vested under KRS 39.400 to KRS 39.432 and KRS 39.990 and provide for further delegation of such authority.
- b. In the event of an actual disaster, emergency, or war related crisis, the County Judge/Executives and Mayors may declare that a State of Emergency exists. Thereafter, the County Judge/Executives and Mayors shall have, for the duration of the state of emergency the following powers:
 - 1) To enforce all laws, rules and regulations relating to emergency management and to assume direct operational control of all civil defense forces and volunteers in the county/city.
 - 2) To seize, take, or condemn property for the protection of the public, or at the request of the President, Governor, the Armed Forces, or the Federal Emergency Management Agency to include:
 - a) Local means of transportation and communications,
 - b) Retail stocks of fuel of any nature,
 - c) Retail food, clothing, equipment, medicines and all other supplies,
 - d) Local facilities, including buildings and plants.
 - 3) To sell, lend, give, or distribute all or any such property among residents and relocatees of the county/city and to account to the fiscal court/city council for any funds received for such property.
 - 4) To make compensation for the property seized, taken, or condemned.
 - 5) To perform and exercise such other functions, powers and duties as may be necessary to promote and secure the safety and protection of the civilian population.

2. Fiscal Courts and City Councils

- a. The fiscal courts and city councils are coordinating branches of County and City government and their continuation is essential. They shall be called into session as necessary to advise and support the County Judge/Executives and Mayors.
- b. Each agency of local government shall perform its normal duties unless otherwise directed by the County Judge/Executives or Mayors. Applicable Standard Operating Procedures shall be developed by each local governmental agency to support the county emergency operations plan. A plan shall also be developed for the preservation of essential records during a disaster or war related crisis.

3. Line of Succession - Judge/Executives

- a. Under KRS 63.190 any vacancy of a Judge/Executive is filled by appointment by the Governor. When a vacancy occurs, the County Clerk is responsible for notifying the Governor of the vacancy (KRS 63.210). A County Judge/Executive appointed in this manner serves in accordance with Section 152 of the Kentucky Constitution.
- b. Each county is required to adopt a succession resolution to insure that a county governmental official is available to serve in the absence or disability of the Judge/Executive, Deputy Judge/Executive, or any successor until the Governor can appoint a new County Judge/Executive.
- c. When the absence or disability of the Judge/Executive shall prevent his/her serving in the office during a national or state emergency, the duties and responsibilities of the County Judge/Executive shall be administered temporarily by the Deputy County Judge/Executive as set forth in KRS 67.730 and 67.745 until the Office of Judge/Executive is filled.
- d. In the absence or disability of the County Judge/Executive and Deputy County Judge/Executive, members of the Fiscal Court shall serve in succession in accordance with KRS 67.740 and 67.745 until the Office of Judge/Executive is filled.

4. Line of Succession - Mayors and City Legislative Bodies

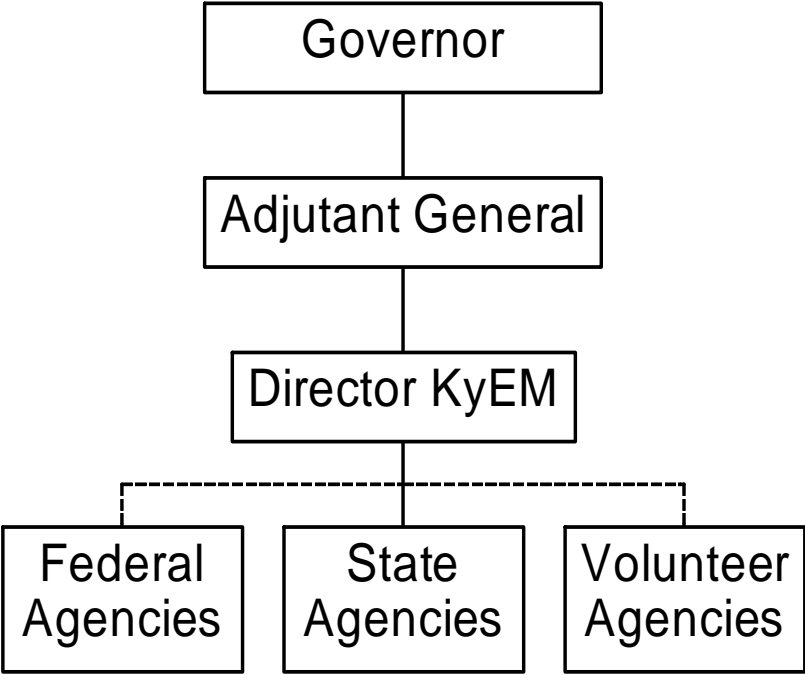
- a. Under KRS 83A.040, each Kentucky City shall have a separately elected Mayor. The filling of temporary vacancies in the Office of Mayor differs depending upon governmental plan. The legislative body of the jurisdiction shall fill any permanent vacancy in the office within thirty (30) days. If this step is not taken within the time specified, the Governor shall fill the vacancy under KRS 83A.040, which specifies that if no appointment is made by the city legislative body, the Governor shall promptly fill the vacancy by appointment of a qualified person who shall serve until the next regular election.
- b. If one or more vacancies occur on a city legislative body, in such a manner that one or more members remain seated, KRS 83A.040 provides that the remaining members will fill all vacancies. These vacancies will be filled one at a time, giving each new appointee reasonable notice of selection to allow the new member to meet and act with the remaining members in making further appointments, until all vacancies are filled. KRS 83A.040 also states that if the entire city legislative body becomes vacant at once, the Governor shall appoint enough members sufficient to constitute a quorum. Any remaining vacancies shall be filled in accordance with KRS 83A.040.

- c. If, for any reason, the remaining members do not fill any vacancy on a city legislative body, the Governor shall promptly fill the vacancy, or vacancies, by appointment and the appointed member shall serve until the next election.
- d. For temporary absences of Mayors in cities with a Mayor/Council form of government, the Mayor shall appoint a Mayor Pro-Tempore. If the Mayor's absence continues for 60 consecutive days, the legislative body may declare the office vacant, and appoint a new Mayor pursuant to KRS 83A.040.
- e. When the Mayor of a first class city is temporarily absent or disabled, KRS 84.560 requires that the President of the city legislative body, who shall be elected annually by the body, serve as Mayor on a temporary basis.
- f. For temporary absences of Mayors in cities with a Mayor/Commission form of government, the commission shall designate one commissioner as Mayor Pro-Tempore. If the Mayor's absence continues for 60 consecutive days, the commission may declare the office to be vacant and appoint a new Mayor pursuant to KRS 84A.040.
- g. For temporary absences of Mayors in cities with a City Manager form of government, a Mayor Pro-Tempore is elected from among the city legislative body. If the Mayor's absence extends for 60 consecutive days, the body may declare the office to be vacant.

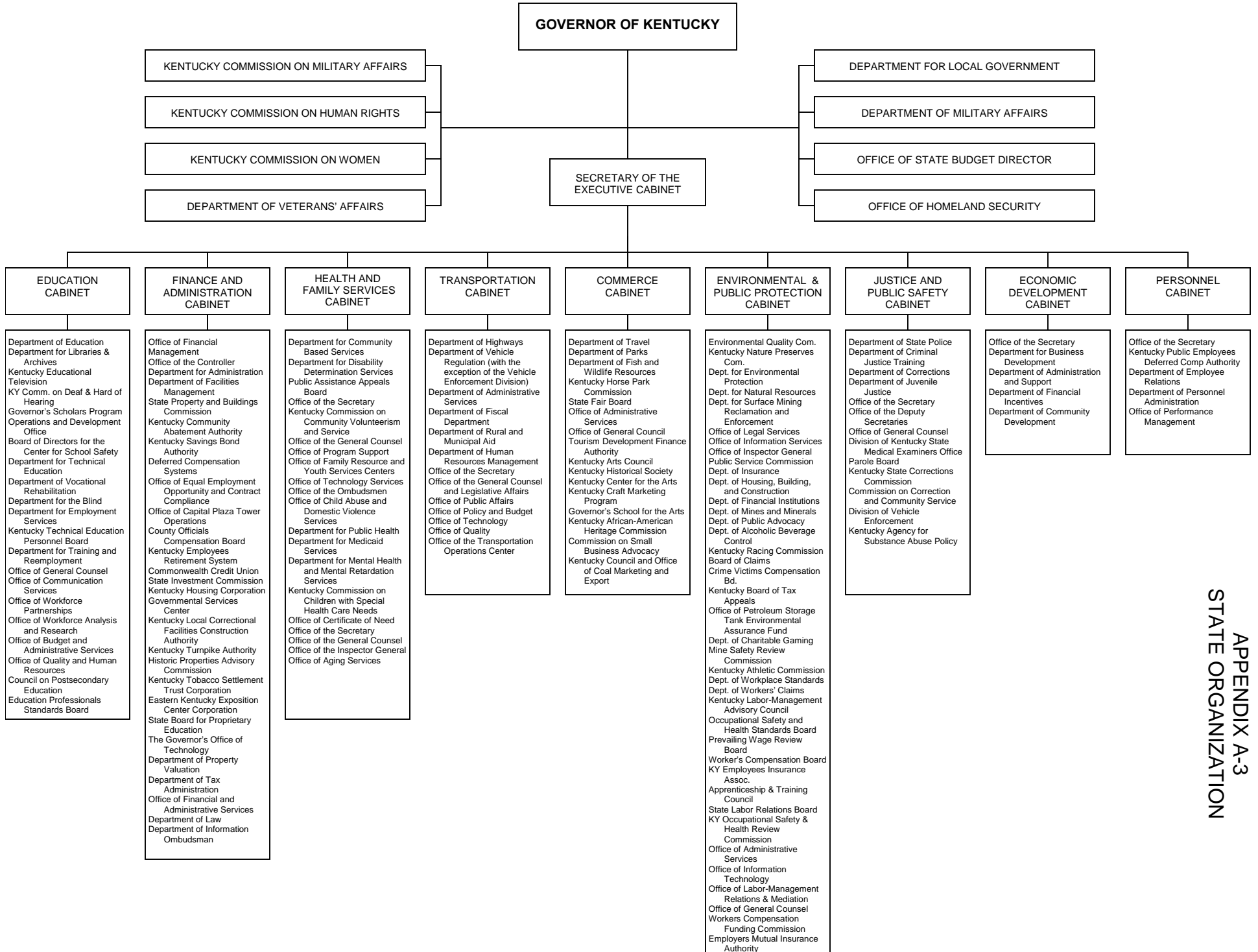
APPENDIX A-2
AGENCY COORDINATORS

- I. The following agencies will designate an Agency Coordinator and an alternate for duty in the Kentucky EOC at the Boone National Guard Center. The KyEM Operations Staff and Duty Officer keep an updated roster of coordinators.
 - A. The Office of the Governor
 - B. Commerce Cabinet
 - C. Economic Development Cabinet
 - D. Education Cabinet
 - E. Environmental and Public Protection Cabinet
 - F. Finance and Administration Cabinet
 - G. Health and Family Services Cabinet
 - H. Justice and Public Safety Cabinet
 - I. Personnel Cabinet
 - J. Transportation Cabinet
 - K. Department of Military Affairs
 - L. Department of Agriculture
 - M. Office of Homeland Security
 - N. Public Service Commission
 - O. American National Red Cross
 - P. Salvation Army
 - Q. Civil Air Patrol
 - R. Mennonite Disaster Service

APPENDIX A-3
STATE EMERGENCY ORGANIZATION



----- Coordination



KYEM AREA MANAGERS



COMMONWEALTH OF KENTUCKY
DEPARTMENT OF MILITARY AFFAIRS

DIVISION OF EMERGENCY MANAGEMENT

EOC, BOONE CENTER

FRANKFORT KY 40601-6168

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FAX - 502-607-1614

Charlie Winter
Assistant Director
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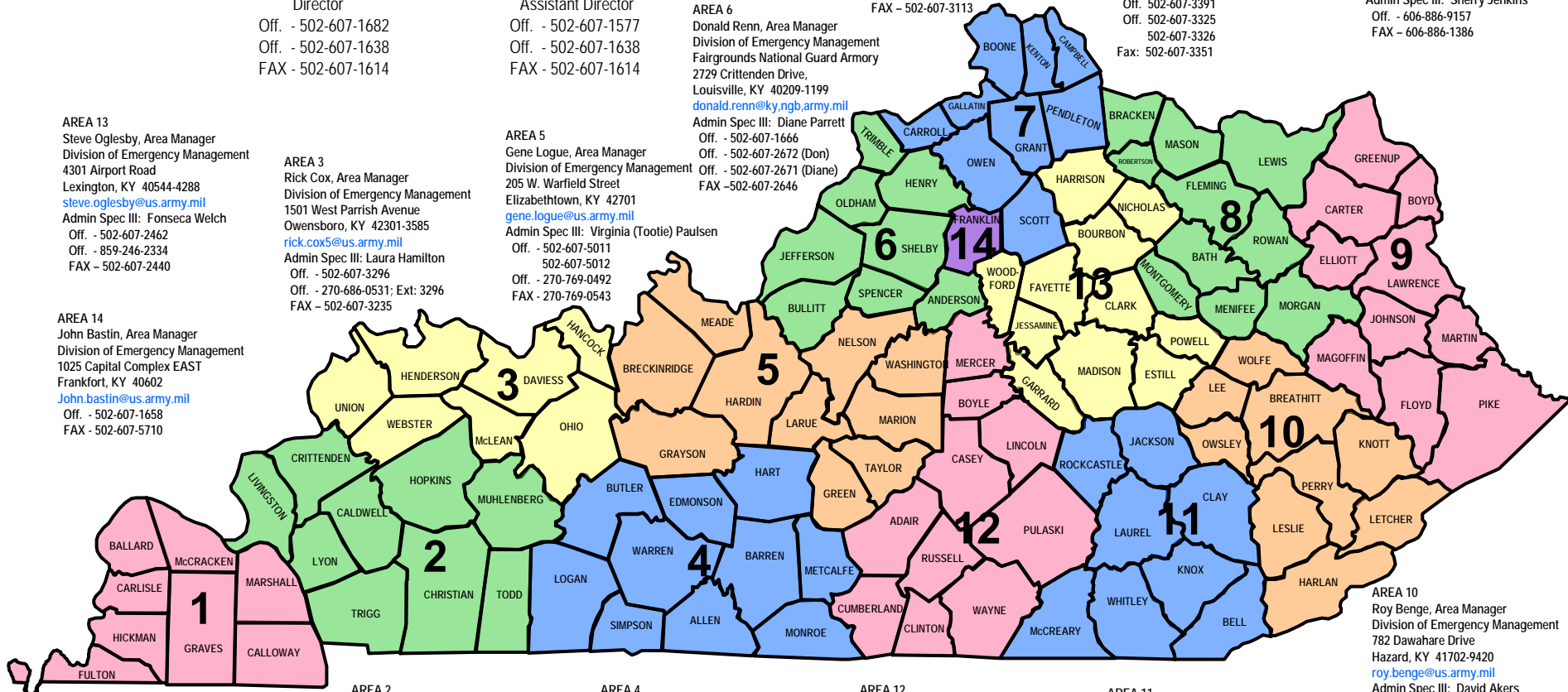
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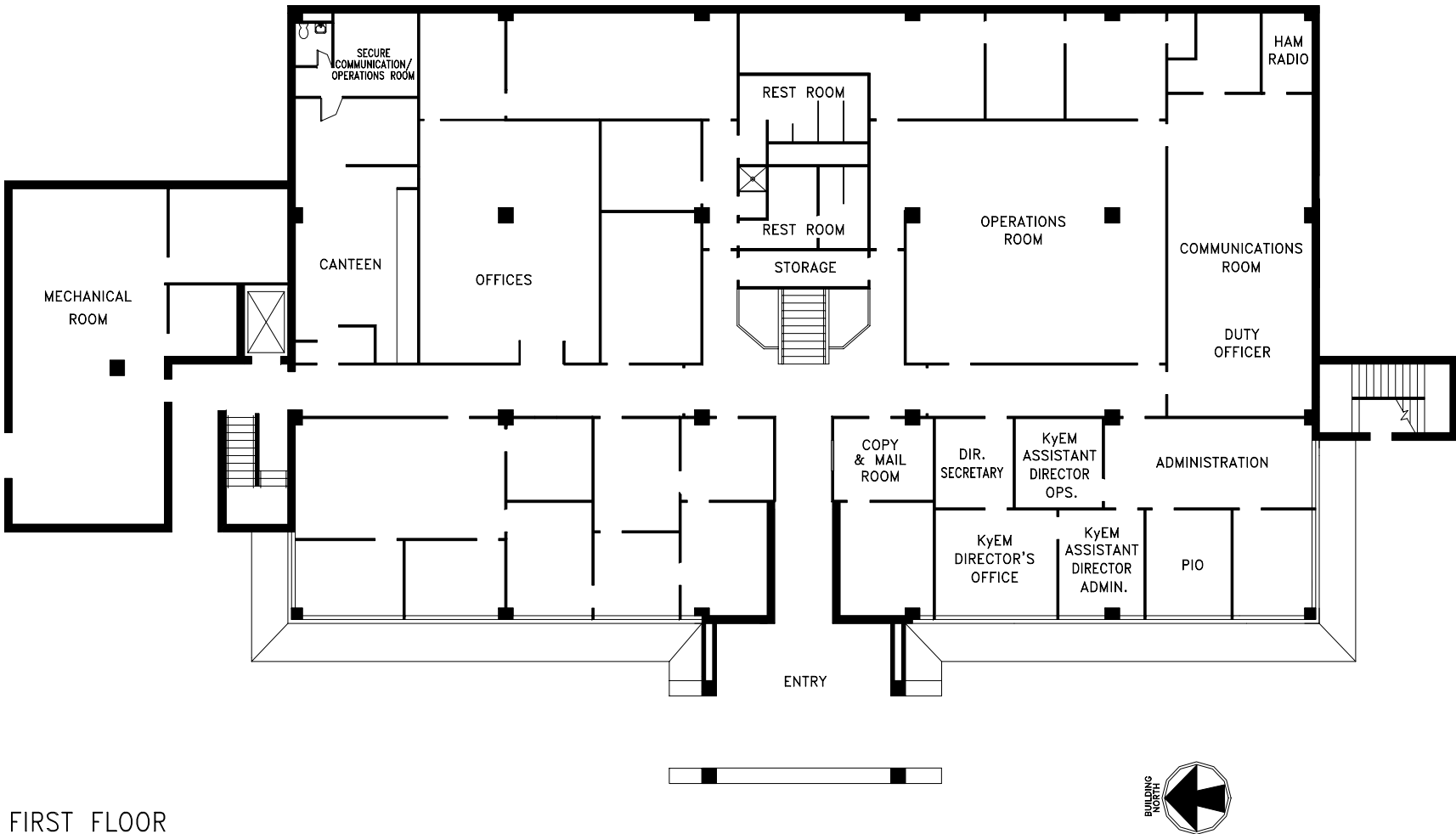
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APPENDIX A-5
STATE EMERGENCY OPERATIONS CENTER

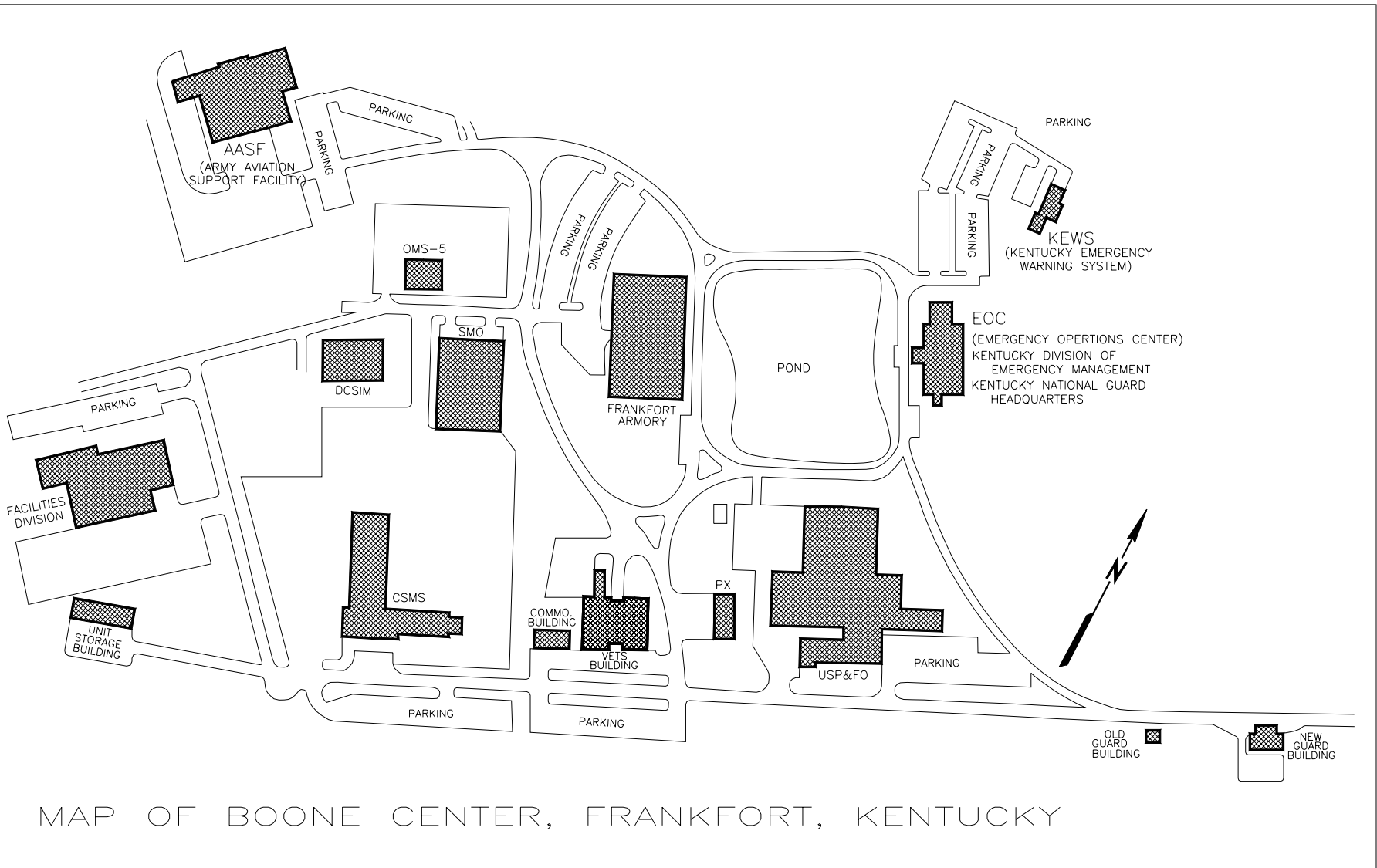


FIRST FLOOR
EMERGENCY OPERATIONS CENTER
BOONE CENTER, FRANKFORT, KY

A-5-1

KyEOP-22-04

APPENDIX A-5
MAP OF BOONE CENTER



A-5-2

KyEOP-22-04

APPENDIX A-6 NATIONAL RESPONSE PLAN

I. SITUATION AND ASSUMPTIONS

- A. A catastrophic disaster in a high risk, high population area will result in an excessive number of casualties, property loss, disruption of physical infrastructure, etc. and may severely impact the regional economic and social infrastructures.
- B. The number of victims may total in the thousands depending on such factors as time of occurrence, weather conditions, area demographics and building construction.
- C. Following a catastrophic disaster, the National Response Plan (NRP) will be implemented to assist state and local response operations to save lives and property. The NRP is applicable to a variety of natural disasters that result in the need for substantial federal assistance.
- D. The federal plan is based on the assumption that a catastrophic disaster may require a broad range of federal assistance to support state and local response operations.

II. MISSION

- A. The mission of the NRP is to prescribe the assumptions, policies, concept of operations and responsibilities for federal agencies to provide response assistance to support state and local jurisdictions in catastrophic disaster operations.
- B. Response assistance includes those actions and activities that support state and local government efforts to save lives, protect property and public health, and maintain public safety.
- C. The NRP can be implemented concurrently with the following:
 - 1. National Plan for Telecommunications Support in Non-Wartime Emergencies - forms the basis for Emergency Support Function #2.
 - 2. National Oil and Hazardous Materials Substances Pollution Contingency Plan (NCP) - forms the basis for Emergency Support Function #10.
 - 3. Federal Radiological Emergency Response Plan (FRERP) - details the Federal response to a peacetime radiological emergency.

III. DIRECTION AND CONTROL

- A. The Director of the Department of Homeland Security (DHS) and his/her designee have the authority to activate part or all of the NRP.
- B. Operations under the NRP will be carried out under the authority of the Robert T. Stafford Disaster and Emergency Assistance Act, Public Law 93-288, as amended; and its implementing regulations found in 44 CFR 206.
- C. Under a Presidential major disaster declaration, a Federal Coordinating Officer (FCO) will be appointed to coordinate the federal response. The FCO will work with the State Coordinating Officer (SCO) to identify unmet needs and support requirements and coordinate these requirements with functional units outlined in the NRP.
- D. In the event of a catastrophic disaster, the President will, at the request of the Governor, issue a disaster declaration for the state. That Presidential disaster declaration will permit the implementation of the NRP. The incident period for the declaration will be dated to coincide with the occurrence of the disaster event.
- E. State and local governments will maintain direction and control over state and local disaster response operations.
- F. Each Functional unit will work directly with its state counterpart to provide support identified by the state.

IV. CONCEPT OF OPERATIONS

- A. The NRP consists of the following sections.
 - 1. The Basic Plan
 - 2. Emergency Support Function Annexes
 - 3. Recovery Function Annex
 - 4. Support Annexes
 - 5. Incident Annexes
 - 6. Appendices
- B. The NRP groups the types of federal assistance under fifteen Emergency Support Functions (ESFs). The fifteen ESFs serve as the primary mechanism under which federal response assistance will be provided to Kentucky. Each ESF is headed by a primary federal agency, with other federal agencies providing support as necessary to carry out the function. Primary agencies have been assigned on the basis of having the most resources and capabilities in a particular functional area (see TAB A-6-2).

- C. The Recovery Function Annex describes the policies, planning considerations and concept of operations that guide the provision of assistance. Assistance is categorized by delivery system, either to individuals, families, businesses and State and local government.
- D. Support Annexes are also listed that describe the mission, policies and concept of operations of related activities required to conduct disaster operations.

1. Community Relations (CR)

- a. The CR function deploys field officers into affected communities after a major disaster to gather and disseminate information about the disaster response and recovery process.
- b. CR serves as a direct link to these communities and works in close coordination with other program elements.
- c. Depending on the size of the disaster, the CR function may include an Information element, an Administrative/Logistics Liaison, and/or a Training Liaison.

2. Congressional Affairs (CA)

- a. The Congressional Affairs liaison function is to coordinate dissemination of information to members of Congress and committees of Congress.
- b. The Congressional Affairs liaison advises officials of congressional concerns, anticipated congressional action and legislative developments.

3. Donations Management (DM)

- a. Kentucky and city/county governments have primary responsibility for the management of unsolicited goods and unaffiliated volunteers.
- b. The Federal Government supports Kentucky and voluntary organizations in establishing and/or maintaining a system to manage and control donated goods and services.
- c. Voluntary organizations with established donations structures already in place will be expected to receive and deliver appropriate donated goods to disaster survivors.
- d. Cash donations to recognized voluntary organizations with disaster experience are the preferred method of giving to help disaster survivors.
- e. Individuals interested in volunteering are encouraged to affiliate with a recognized nonprofit voluntary organization.

4. Financial Management (FM)

- a. Provides basic financial management guidance to Federal agencies responding to a major disaster or emergency under the NRP.
- b. Ensures that funds expended are provided expeditiously and in accordance with established law, Federal policies, regulations and standards.

5. Logistics Management (LM)

- a. Identifies components of the Federal Disaster Logistics delivery system.
- b. Outlines FEMA Logistics Management responsibilities and how they change as various Federal logistics providers become active during a disaster.
- c. Requests for assistance from the local level will be forwarded by KyEM to the appropriate function for action.
- d. Assistance will be provided from the function to the state, or at the state's request, directly to the affected local jurisdiction.
- e. Each function will provide a liaison in each DFO to work directly with its Kentucky counterpart to identify Kentucky resource requirements. These requirements will be communicated to the FCO, who will work with the appropriate function to ensure coordination of resources.

6. Occupational Safety and Health (SH)

- a. Outlines actions necessary for deployed Federal personnel to have a safe and healthy workplace.
- b. Develops a standard reporting system to document the occurrence of disaster related illness and injuries.

7. Public Affairs (PA)

- a. Provides information on how to apply for assistance following a disaster.
- b. Provides information to deal with unsubstantiated rumors.
- c. Addresses the liaison between Federal, State and local Public Information officers.
- d. Provides guidance on when and how Joint Information Centers (JIC) will be used.

- E. Appendices to the NRP cover: Terms and Definitions, Acronyms and Definitions, NRP Changes and Revision and Overview of a Disaster Operation.
- F. State and local governments will maintain direction and control of disaster response operations. Federal assistance is to supplement state and local response operations and will be provided based on state identified requirements and priorities.
- G. The Disaster Field Office (DFO) will be the primary field location for the coordination of response operations. The DFO will be located in or near the affected area, and will house the FCO and Emergency Response Team (ERT). It will maintain operations 24-hours-a-day or on a schedule to maintain federal response operations. Except where facilities do not permit, the FCO will co-locate with the State Coordinating Officer (SCO) at the DFO.
- H. Staging areas will be located in or near the disaster area to marshal personnel, equipment and supplies for further deployment. Potential staging areas should be pre-identified by functions and their state counterparts as part of planning for an identified risk area. Utilization and management of the staging areas will be coordinated with all functions, and with appropriate state and local officials, to assure site availability and to facilitate resource management.
- I. A task force may be organized utilizing one or more functions or individual agencies that have expertise in a particular area. In the field, a FCO may utilize a task force to deal with a specific issue, problem or mission not covered under an assigned function.
- J. Department of Homeland Security (DHS) Response Organization
 - 1. DHS will use the FEMA's regional response structure will initially be composed of staff at the Regional Operations Center (ROC) at the FEMA regional office. Subsequently, an Emergency Response Team (ERT), Advance Element, followed by a fully staffed ERT will deploy to the state to conduct response and recovery operations. The ERT will be the interagency groups responsible for the administrative, logistic, and operational support to regional response operations. The ERT will include staff members from FEMA and other agencies that support the FCO and will carry out interagency activities from the DFO. The ERT will also provide support in the DFO for the distribution of information to the media, Congress, and to the general public.
 - 2. The ERT Advance Element will be the initial response group to the state. The advance element will be headed by a team leader and will be made up of FEMA program and support personnel, and other ESF representatives from the primary agencies. Some of the advance element will deploy to the State EOC to work directly with the state to obtain damage assessments and to identify specific needs. The remaining advance element will deploy to the disaster area to conduct damage assessment, establish a DFO location,

establish communications, and begin field operations.

3. Under the federal plan, the ERT Advance Element, and full ERT will be organized to support the operational level required to respond to the disaster.
4. When fully operational, the regional response structure will consist of the FCO and ERT in the Disaster Field Office, with ESFs providing assistance in the state. FEMA Regional Operations Center will establish communications with Kentucky to collect information on damages and will serve as a temporary coordination office until the ERT is fully established.
5. Tab A-6-1 explains the state ESF functional responsibilities, while Tab A-6-2 illustrates the federal agencies with primary and secondary ESF responsibilities.
6. In addition to the functional illustrated in Tab A-6-2, the NRP also provides supporting annexes for financial management, public information, and legislative relations.

V. ADMINISTRATIVE SUPPORT

NRP Functional Units are responsible for the required resources. If such resources are not available in Kentucky, the required resources will be requested from area, regional and national offices.

VI. GUIDANCE DOCUMENTS

National Response Plan, 2004

VII. TABS

- A. TAB A-6-1 State Government National Response Plan Functional Assignments
- B. TAB A-6-2 Emergency Support Functions Under the National Response Plan
- C. TAB A-6-3 National Response Plan and State EOP Correlation

**TAB A-6-1
STATE GOVERNMENT
NATIONAL RESPONSE PLAN
FUNCTIONAL ASSIGNMENTS**

STATE AGENCY	EMERGENCY SUPPORT FUNCTION ANNEXES														
	1. Transportation	2. Communications	3. Public Works & Engineering	4. Fire Fighting	5. Emergency Management	6. Mass Care, Housing & Human Service	7. Resource Support	8. Public Health & Medical Services	9. Urban Search & Rescue	10. Oil and Hazardous Material Response	11. Agriculture & Natural Resources	12. Energy	13. Public Safety and Security	14. Long Term Community Recovery & Mitigation	15. External Affairs
Governor's Office	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
Transportation Cabinet	P	S	P		S		S		S	S	S	S			S
Health and Family Services Cabinet	S	S	S		S	S	S	P	S		S	S			S
Environmental and Public Protection Cabinet	S	S		P	S		S		S	P		P	S		S
Department of Agriculture	S	S			S	S	S	S			P	S			S
Education Cabinet	S	S			S	S	S					S			S
Finance and Administration Cabinet		S	S	S	S	S	P	S	S	S	S	S	S	P	S
Commerce Cabinet		S	S		S		S				S	S		S	S
Kentucky National Guard	S	S		S	S		S		S		S		S		S
Justice and Public Safety Cabinet		S			S		S		S			S	P		S
Personnel Cabinet		S			S		S							S	S
Economic Development Cabinet		S	S		S		S				S	S		S	S
American Red Cross, Kentucky Chapters	S	S			S	P	S	S			S				S
Kentucky Division of Emergency Management	S	P	S	S	P	S	S	S	P	S	S	S	S	S	P
Public Service Commission		S			S		S					S		S	S
Volunteer Organizations Active in Disaster	S	S	S		S	S	S	S	S		S			S	S

P Primary Agency

S Secondary Agency

TAB A-6-2
EMERGENCY SUPPORT FUNCTIONS UNDER THE NATIONAL RESPONSE PLAN

ESF		SCOPE
#1 – Transportation	<p>Coordinator: DOT Primary Agency: DOT Support Agencies: BTS, DOD, DOS, GSA, IAIP, USCG, USFS, USPS</p>	<ul style="list-style-type: none"> Federal and civil transportation support Transportation Safety Restoration/recovery of transportation infrastructure
#2 – Communications	<p>Coordinator: DHS/NCS Primary Agency: DHS/NCS Support Agencies: DOC, DOD, DOI, FCC, FEMA, GSA, IAIP, S&T, USFS</p>	<ul style="list-style-type: none"> Coordinate with Telecommunication Industry Restoration/repair of telecommunication network Cyber and Information Technology
#3 – Public Works and Engineering	<p>Coordinator: DOD/USACE Primary Agencies: USACE / FEMA / IAIP Support Agencies: DOC, DOD, DOI, DOL, DOT, EPA, HHS, TVA, USDA, VA</p>	<ul style="list-style-type: none"> Infrastructure protection and emergency repair Infrastructure restoration Engineering services, Construction Management Critical Infrastructure Liaison
#4 – Firefighting	<p>Coordinator: USFS/USDA Primary Agency: USFS/USDA Support Agencies: DOD, DOI, EPA, USFA</p>	<ul style="list-style-type: none"> Firefighting activities on Federal lands Resource support to rural and urban firefight operations
#5 – Emergency Management	<p>Coordinator: DHS/EPR/FEMA Primary Agency: DHS/EPR/FEMA Support Agencies: ARC, BTS, DOC, DOD, DOEd, DOE, DOJ, DOT, EPA, GSA, HHS, NCS, NASA, NRC, TREAS, SBA, USCG, USDA</p>	<ul style="list-style-type: none"> Information collection, analysis and reports Action planning and tracking Resource tracking Science and Technology support
#6 – Mass Care, Housing & Human Services	<p>Coordinator: DHS/EPR/FEMA Primary Agencies: DHS/EPR/FEMA /ARC Support Agencies: DHS, DOD, DOE, GSA, HHS, HUD, SBA, USDA, USPS, VA</p>	<ul style="list-style-type: none"> Mass Care Disaster Housing Human Services

#7 – Resource Support Coordinator: Primary Agency: Support Agencies:	GSA GSA/FEMA BTS, DOC, DOD, DOE, DOL, DOT, NASA, OPM, VA, USFS	<ul style="list-style-type: none"> • Resource Support • Logistics
#8 – Public Health and Medical Services Coordinator: Primary Agency: Support Agencies:	HHS HHS FEMA, AID, DHS, DOD, DOE, DOJ, DOL, DOS, DOT, EPA, GSA, USDA, USPS, VA	<ul style="list-style-type: none"> • Public Health • Medical • Mass Fatalities
#9 – Urban Search and Rescue Coordinator: Primary Agency: Support Agencies:	DHS/EPR/FEMA DHS/EPR/FEMA AID, BTS, DOC, DOD, DOJ, DOL, HHS, NASA, USFS, USCG	<ul style="list-style-type: none"> • Life saving assistance • Urban search and rescue
#10 – Oil and Hazardous Materials Response Coordinator: Primary Agencies: Support Agencies:	EPA EPA (Inland) / USCG (Coastal) DOD, DOE, DOI, DOJ, DOS, DOT, FEMA, GSA, HHS, IAIP, NOAA, NRC, OSHA, S&T, TREAS, USDA	<ul style="list-style-type: none"> • Hazardous materials (hazardous substances, oil, etc.) response • Environmental safety and cleanup
#11 – Agriculture and Natural Resources Coordinator: Primary Agency: Support Agencies:	DOI/USDA DOI/USDA ARC, DOD, DOS, EPA, GSA, IAIP, S&T	<ul style="list-style-type: none"> • Nutritional services • Agricultural production • Animal health
#12 – Energy Coordinator: Primary Agency: Support Agencies:	DOE DOE DHS, DOD, DOI, DOS, DOT, NRC, TVA, USDA, IAIP	<ul style="list-style-type: none"> • Energy system assessment • Repair/restoration • Energy industry utilities coordination • Energy forecast

#13 – Public Safety and Security Coordinator: Primary Agency: Support Agencies:	DOJ/DHS/EPR/FEMA DOJ/DHS/EPR/FEMA BTS, DOE, DOI, IAIP, USCG, USDA, USPS, USSS	<ul style="list-style-type: none"> • Operational and personnel security • Liaison between criminal investigation activities and response and recovery operations • Inspector General activities
#14 – Long Term Community Recovery and Mitigation Coordinator: Primary Agencies: Support Agencies:	FEMA/DHS/EPR FEMA / DOC / HUD / TREAS / SBA/HHS/DHS/DOD, DOL, DHS, HHS, IAIP, TVA, USDA, Private Sector	<ul style="list-style-type: none"> • Assess economic impacts • Private sector coordination • Long-term community recovery • Mitigation response and program implementation
#15 – External Affairs Coordinator: Primary Agency: Support Agencies:	DHS FEMA/DHS/EPR DOC, DOD, DOE, DOI, DOJ, DOL, DOT, DOS, EPA, GSA, HHS, NRC, USDA	<ul style="list-style-type: none"> • Emergency public information • Protective action guidance • Media Relations • Community Relations • Congressional Affairs • International Affairs

**TAB A-6-3
NATIONAL RESPONSE PLAN AND STATE EOP CORRELATION**

TAB A-6-3 NATIONAL RESPONSE PLAN AND STATE EOP CORRELATION		NRP EMERGENCY SUPPORT FUNCTIONS														
		Transportation	Communications	Public Works & Engineering	Fire Fighting	Emergency Management	Mass Care, Housing & Human Service	Resource Support	Public Health & Medical Services	Urban Search & Rescue	Oil and Hazardous Material Response	Agriculture & Natural Resources	Energy	Public Safety and Security	Long Term Community Recovery & Mitigation	External Affairs
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
STATE EOP																
BASIC	Basic Plan	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
ANNEX A	Direction And Control					X										
ANNEX B	Communications		X													
ANNEX C	Warning		X													
ANNEX D	Increased Readiness					X										
ANNEX E	Public Information															X
ANNEX F	Reception And Care						X									
ANNEX G	Military Support							X								
ANNEX H	Transportation	X														
ANNEX I	Radiological Protection										X					
ANNEX J	Law Enforcement													X		
ANNEX K	Fire Service				X											
ANNEX L	Search And Rescue									X						
ANNEX M	Health And Medical								X							
ANNEX N	Manpower							X								
ANNEX O	Resource Management							X								
ANNEX P	Energy												X			
ANNEX Q	Hazardous Materials										X					
ANNEX R	Engineering			X												
ANNEX S	Food Management						X									
ANNEX T	Volunteer Organizations					X										
ANNEX U	Reporting System					X										
ANNEX V	Recovery														X	
ANNEX W	Training And Exercising					X										
ANNEX X	Fixed Nuclear Facilities										X					
ANNEX Y	Mass Destruction/Conventional War	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
ANNEX Z	Emergency Repatriation						X		X							
ANNEX AA	Homeland Security		X											X		
ANNEX BB	Agriculture Resource Management											X				
ANNEX CC	Water Resources											X				
ANNEX DD	Earthquake Preparedness					X										
ANNEX EE	Evacuation					X										
ANNEX FF	Aircraft Incidents					X										
ANNEX GG	Dam Failure										X					
ANNEX HH	Civil Disturbance													X		

APPENDIX A-7
NATIONAL INCIDENT MANAGEMENT SYSTEM

I. SITUATION AND ASSUMPTIONS

- A. Many disasters and emergencies require the establishment of a field command post to direct local operations for response and recovery in coordination with the Emergency Operations Center. KRS 39A.230 (1) and (3) sets forth that a response to an incident by the State will conform to the State EOP and to the promulgated Governor's Executive Order concerning use of the Incident Command System, see Tab A-7-1.
- B. A majority of emergency responses do not require the activation of an Emergency Operations Center, but can be effectively managed with the use of a field command post.
- C. The Occupational Health and Safety Administration, U.S. Environmental Protection Agency, Department of Homeland Security, and the National Fire Protection Association require the use of the National Incident Management System for emergency response to hazardous materials incidents as well as other types of incidents.
- D. At the local government level, KRS 39A.230(2) requires the local Emergency Operations Plan to include procedures for an incident command/management system that utilizes a single command approach for day-to-day, routine emergency incidents, and a unified command approach for multi-agency or multi-jurisdictional emergencies. Under KRS 39B.050(3), the local emergency management director is responsible for coordinating the response operations of local government forces.
- E. On incidents in which the Commonwealth assumes lead agency responsibilities, the National Incident Management System (NIMS) will be used. KyEM will act as the coordinating agency.
- F. All state, federal and other agencies (private and public) responding to an incident will operate under the direction of the Incident Commander within the parameters laid out in the NIMS.
- G. All Incident Command/Management Systems used in the Commonwealth will be in conformity with the NIMS.

II. MISSION

The mission is to ensure effective management of emergency response operations to include accountability of personnel and the effective use of resources. An Incident Command/Management System will be established for emergency response field operations coordinated by the local EM Director and the Incident Commander (IC) under the authority of the Chief Executives for operations requiring

coordination of single or multi-agency local response.

III. DEFINITIONS

Available Resources – Resources assigned to an incident and available for an assignment.

Chief – IMS title for individuals responsible for coordination of the functional sections: Operations, Planning, Logistics, and Finance/ Administration.

Clear Text – The use of plain English in radio communications transmissions. No Ten Codes or agency-specific codes are used when using Clear Text.

Command Post (CP) – The location at which primary command functions are executed; usually located with the Incident Base.

Command Staff – The Command Staff consists of the Safety Officer, Liaison Officer, and Information Officer, who report directly to the Incident Commander.

Command – The process of systematically analyzing a situation, developing relevant information, and informing appropriate (command) authority (for its decision) of viable alternatives for selection of the most effective combination of available resources to meet specific objectives. The coordination process (which can be either intra- or interagency) does not, in and of itself, involve Management dispatch actions. However, personnel responsible for coordination may perform Management or dispatch functions within limits as established by specific agency delegations, procedures, legal authority, etc.

Division – That organization level having responsibility for operations within a defined geographic area. The Division level is organizational between the Single Resource, Task Force, or Strike Team and the Branch.

Finance/ Administration – Responsible for all administrative, costs and financial considerations of the incident.

General Staff – The group of incident management personnel comprised of the: Incident Commander, Operations Section Chief, Planning Section Chief, Logistics Section Chief, and Finance Section Chief.

Group – That organizational level having responsibility for a specified functional assignment at an incident (ventilation, salvage, water supply, etc.).

Incident Action Plan – The strategic goals, tactical objectives, and support requirements for the incident. All incidents require an action plan. For simple incidents the action plan is not usually in written form. Large or complex incidents will require that the action plan be documented in writing.

Incident Command/Management System (IC/MS) – The combination of facilities,

equipment, personnel, procedures, and communications operating within a common organizational structure with responsibility for the management of assigned resources to effectively accomplish stated objectives pertaining to an incident.

Incident Commander (IC) – The individual responsible for the management and coordination of all incident operations.

Information Officer – Responsible for interface with the media or other appropriate agencies requiring information direct from the incident scene. Member of the Command Staff.

Liaison Officer – the point of contact for assisting or coordinating agencies. Member of the Command Staff.

Logistics – Responsible for providing facilities, services, and materials for the incident.

Operational Period – The period of time scheduled for execution of a given set of operation actions as specified in the Incident Action Plan.

Operations – Responsible for all tactical operations at the incident.

Overhead Personnel (Team) – Personnel who are assigned to supervisory positions, including Incident Manager, Command Staff, General Staff, Directors, Supervisors, and Unit Leaders.

Planning – Responsible for the collection, evaluation, dissemination, and use of information about the development of the incident and the status of resources.

Safety Officer – Responsible for monitoring and assessing safety hazards or unsafe situations and developing measures for ensuring personnel safety. Member of the Command Staff.

Staging Area – That location where incident personnel and equipment are assigned on an immediately available status.

Strategic Goals – The overall plan that will be used to control the incident. Strategic goals are broad in nature and are achieved by the completion of tactical objectives.

Tactical Objectives – The specific operations that must be accomplished to achieve strategic goals. Tactical objectives must be both specific and measurable.

IV. COMPONENTS OF NIMS

NIMS has a number of components. These components work together interactively providing the basis for an effective IC/MS concept of operations.

- A. Common Terminology – It is essential for any management system, especially one that will be used in joint operations by multiple agencies, to establish common terminology for organizational functions, resources, and facilities.
- B. Modular Organization – IC/MS organizational structure develops in a modular fashion based upon the type and size of an incident. Of the 5 functional areas, Command is always staffed. The additional 4 (Operations, Planning, Logistics, and Finance/ Administration) are staffed only as the requirements of the incident dictate. Subordinate positions within functional areas are staffed as required.
- C. Integrated Communications – All incident communications are managed through the use of a common communications plan. Incident communications should be in plain English and confined to only essential messages. Based upon the size and complexity of an incident, radio networks are established for Command, Tactical and Support.
- D. Unified Command – Unified Command is established because incidents do not respect jurisdictional boundaries, and multiple agencies with jurisdictional responsibilities may be involved in resolving an incident. Unified Command determines overall incident objectives, proper strategies, joint planning for tactical operations, and maximum use of assigned resources. Under a Unified Command, implementation of the action plan will be done under the direction of a single individual, the Operations Chief. Under Unified Command there may be no single individual who is designated Incident Commander; however, there will be an Incident Coordinator.
- E. Consolidated Action Plan – Every incident needs some form of an action plan. Written action plans will be used with multiple agencies, multiple jurisdictions, long-term incidents, or hazardous materials response.
- F. Span of Control – Ideally, the span of control will be 1 supervisor to 5 individuals; however, this span of control can range from 1 to 3 or as high as 1 to 7.
- G. Designated Incident Facilities – The determination of types of facilities and their locations are based upon the requirements of an incident. The Incident Coordinator/ Manager and those involved in Unified Command shall be located at an Incident Command Post.
- H. Incident Base – The primary location where support activities are performed. The Incident Base will house all equipment and personnel for support operations. Staging areas are established for the temporary location of available resources. Those resources that are not immediately assigned will report to a staging area. The staging area will be established by the IC or the Operations Chief.
- I. Comprehensive Resource Management – Resources will be managed in the most effective way with specific tasks in order to maintain an accurate picture of the operation and to ensure implementation of an action plan.

V. THE COMMAND STAFF

- A. Information Officer – The Information Officer's function is to develop accurate and complete information regarding an incident. The Information Officer will serve as point of contact for the media and other governmental agencies that desire information directly from the incident.
- B. Safety Officer – The Safety Officer's function at an incident is to assess hazardous and unsafe situations. The Safety Officer has the authority to stop or prevent unsafe acts. A single Safety Officer will be designated, and assistance may be required depending upon the complexity of the incident.
- C. Liaison Officer – The Liaison Officer's function is to be the point of contact for the representatives from responding agencies, and to assist the IC with documentation supporting the operation.

VI. GENERAL STAFF

- A. Operations – The Operations Section is responsible for implementing the action plan and carrying out all tactical operations and supervising the staging area. The Operations Chief may be appointed because of legal responsibility due to the nature of an incident.
- B. Planning – The Planning Section is responsible for the collection, evaluation, and dissemination of information regarding the incident. The Planning Section will provide planning for not only the current, but future operational periods.
- C. Logistics – The Logistics Section is responsible for providing all support needs to the incident by ordering all resources from off-incident locations. This section is managed by a Logistics Chief who will provide facilities, transportation, supplies, equipment, maintenance, fueling, feeding, communications, and medical services.
- D. Finance/ Administration – Not all incidents require Finance/ Administration Section to be staffed; however, in long-term incidents or incidents where expenditures are incurred the Finance Chief will determine the need for establishing and collecting data regarding time, procurement, compensation, claims, and costs based upon present and future requirements.

VII. CONCEPT OF OPERATIONS

- A. Upon arriving at the scene of an emergency or other incident, the first arriving ranking officer of the responding agency will establish command. The officer will provide an initial report from the incident via radio to county dispatch identifying the current situation, the location, and any obvious threats to life and/or property.
- B. The first arriving ranking officer shall designate the incident by name and establish the location of a Command Post from which command operations will

be carried out.

- C. Based upon the initial assessment of the first arriving officer, additional resources may be requested.
- D. Based upon the request for additional resources and the initial report of the incident, the county EMA Director or Deputy Director will be notified to provide multi-agency or unified command coordination. The officer in charge may transfer command to an operational section chief for legal authority or the EMA Director or the Deputy EMA Director upon arrival at the scene.
- E. The IC shall determine the Level of Hazard and determine the appropriate response based upon that hazard by developing an action plan and implementing appropriate sections of the ICS/IMS.
- F. The IC will develop the action plan based upon the needs of the incident to include the identification of strategic goals, the formulation of tactical objectives, and a constant re-evaluation of actions. The IC will request county dispatch to notify the appropriate local officials and state agencies by contacting the state Duty Officer at 1-800-255-2587 or 1-502-607-1610 for state agency response.
- G. The IC shall inform the EOC, if the EOC is activated, of the situation in the field. The IC shall receive policy and direction from the EOC staff if activated and staffed.
- H. The Operations Section Chief shall establish a staging area if not already established by the IC.
- I. The IC shall appoint a Safety Officer to ensure that all operations are carried out in a safe manner to avoid injury to responders. The Safety Officer shall prepare a site safety plan, which shall be approved by the IC.
- J. The IC shall maintain on-site a check-in-list of responding agencies on-site with their arrival time and departure time. This may be delegated to the Liaison Officer or an assistant at the Command Post.
- K. The IC shall see that termination procedures are identified, implemented, and followed at the termination of each incident. The IC is responsible for scheduling and conducting a critique of the incident. All participating agencies shall be notified of the critique location, date and time.
- L. The IC, with assistance from the Command Staff and General Staff, shall see that all proper paperwork is completed after each incident. Reports shall be completed in a timely fashion and provided to state and federal agencies as applicable, as well as local governing bodies, i.e., Fiscal Court, City Council, and/or Local Emergency Planning Committee.

VIII. REFERENCES

A. National Incident Management System March 1, 2004

B. NIMS Home Study Courses; ICS 100, ICS 200, and ICS 700, Emergency Management Institute (EMI), Emmittsburg, MD.

IX. TABS

TAB A-7-1 Designation of the NIMS Executive Order



ERNIE FLETCHER
GOVERNOR

EXECUTIVE ORDER

Secretary of State
Frankfort
Kentucky

2004-1315
December 7, 2004

DESIGNATION OF THE NATIONAL INCIDENT MANAGEMENT SYSTEM
(NIMS) AS THE BASIS FOR ALL INCIDENT MANAGEMENT IN THE
COMMONWEALTH OF KENTUCKY

WHEREAS, the President in Homeland Security Directive (HSPD)-5, directed the Secretary of the Department of Homeland Security to develop and administer a National Incident Management System (NIMS), which would provide a consistent nationwide approach for Federal, State, local and tribal governments to work together more effectively and efficiently to prevent, prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity; and

WHEREAS, the collective input and guidance from all Federal, State, local and tribal homeland security partners has been, and will continue to be, vital to the development, effective implementation and utilization of a comprehensive NIMS; and

WHEREAS, it is necessary and desirable that all Federal, State, local and tribal emergency agencies and personnel coordinate their efforts to effectively and efficiently provide the highest levels of incident management; and

WHEREAS, to facilitate the most efficient and effective incident management, it is critical that Federal, State, local and tribal organizations utilize standardized terminology, standardized organizational structures, interoperable communications, consolidated action plans, unified command structures, uniform personnel qualification standards, uniform standards for planning, training, and exercising, comprehensive resource management, and designated incident facilities during emergencies or disasters; and

WHEREAS, the NIMS standardized procedures for managing personnel, communications, facilities and resources will improve the State's ability to utilize federal funding to enhance local and state agency readiness, maintain first responder safety, and streamline incident management processes; and

WHEREAS, the Incident Command System components of NIMS are already an integral part of various incident management activities throughout the State, including current emergency management training programs; and

WHEREAS, the National Commission on Terrorist Attacks (9-11 Commission) recommended adoption of a standardized Incident Command System;

NOW, THEREFORE, I, ERNIE FLETCHER, Governor of the Commonwealth of Kentucky, by the virtue of the powers and authority vested in me by the Constitution and the laws of the Commonwealth of Kentucky do hereby establish the National Incident Management System (NIMS) as the State standard for incident management.

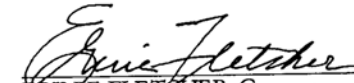



ERNIE FLETCHER
GOVERNOR

EXECUTIVE ORDER

Secretary of State
Frankfort
Kentucky

2004-1315
December 7, 2004


ERNIE FLETCHER, Governor
Commonwealth of Kentucky


TREY GRAYSON
Secretary of State

APPENDIX A-8
RELOCATION OF STATE GOVERNMENT

I. SITUATION AND ASSUMPTIONS

- A. Frankfort is subject to a variety of hazards, including the following.
 - 1. Severe weather.
 - 2. Chemical spills.
 - 3. Transportation accidents.
 - 4. Other technological hazards.
- B. Frankfort is considered a possible terrorism target.
- C. In order for State Government to continue operations during or following a disaster affecting Frankfort, alternative locations for State Government functions must be identified.
- D. Documents needed for State Government to survive are duplicated and stored at the Kentucky Library on the campus of Western Kentucky University in Bowling Green and at the High Bridge Quarry near Wilmore.
- E. There will not be a complete relocation of state personnel and equipment from Frankfort. There will be some relocation of personnel and equipment necessary to sustain essential governmental services.
- F. State Government employees and equipment located in the alternate locations will be utilized first.

II. MISSION

To ensure State Government continues to operate even if the city of Frankfort is seriously damaged or the President orders the resident population evacuated due to national security considerations.

III. DIRECTION AND CONTROL

- A. The Governor remains in charge.
- B. Frankfort remains the primary point of governmental authority.
 - 1. Bowling Green is the primary alternate state capital.

- a. Units of State Government will use their existing offices in Bowling Green. If an agency has no office in Bowling Green, one or more of Western Kentucky University's building will be utilized. A decision on which buildings to use will be made at the time of need.
 - b. Any personnel relocated into Bowling Green will be lodged in local motels unless classes at Western Kentucky University are suspended due to a national emergency.
 2. Secondary alternates for use as the site of state government include Murray State University in Western KY, Eastern Kentucky University in Central KY, and Morehead State University in Eastern KY.
 3. These sites were selected because of their location on or near major highways, space for housing and office use, available communications, support equipment and support facilities.
- C. The judicial system would be operational if Frankfort were evacuated because there are no restrictions placed on where a court of justice can be held.
1. The Chief Justice of the Supreme Court can assign any judge or retired judge to any court with the exception of district court judges.
 2. The Governor will fill any vacant judgeships. He will choose from a list of three names prepared by a judicial nominating committee.
 3. District court clerks have statewide jurisdiction and can be assigned anywhere in the state.
- D. The legislature can meet in special sessions at any location announced by the Governor. Legislative committees can meet pending the call for the special session. Special elections will be needed to fill vacant legislative seats.
- E. If the city of Frankfort is ordered evacuated for any reason, state government may not relocate as a whole. Designated alternate state government units outside of Frankfort will continue to perform State Government services if the government in Frankfort is unable to operate.
1. State Government personnel in the designated state alternate government sites will perform the roles normally provided by Frankfort offices, if the Frankfort offices are not usable.
 2. Personnel from Frankfort offices may be assigned to an alternate state government site by their Cabinet Secretaries to support possible activation of one of the alternate sites.

3. Equipment may also be relocated from Frankfort to one of the alternate state government sites. Any equipment that is relocated must be compatible with equipment already in use.
- F. When the Frankfort evacuation order is lifted the alternate state capitals will coordinate the closing of their facility with Frankfort.
- G. If Frankfort is destroyed or damaged to the point of being unable to support state government, the legislature can decide on a new location for the state capital.
- H. The Kentucky Emergency Operations Center is located at the EOC Building, Boone National Guard Center, Frankfort.
 1. If the Kentucky EOC Building is damaged by an event confined to that facility, then the Transportation Cabinet DOC will serve as the temporary EOC.
 2. If the Kentucky EOC Building and its surrounding environment are rendered uninhabitable, a temporary Kentucky EOC will be designated. See Appendix A-9 for listing.

IV. CONCEPT OF OPERATIONS

- A. Succession
 1. During periods of high international tension in which the use of weapons of mass destruction is threatened, one person in the line of succession to the Governor will remain outside the designated high-risk areas.
 2. The lines of succession for elected officials are outlined in the State Constitution.
- B. Each cabinet will need to appoint an alternate secretary to act in their place at the alternate capital.
 1. The alternate cabinet secretary will be the highest-ranking official of that cabinet's office in the city designated as the alternate state capital unless the Secretary of the Cabinet designates otherwise.
 2. The Cabinet Secretary also designates a person at the alternate state capital to fulfill the functions of standby to the alternate cabinet secretary if that person is unable to function in that role.
- C. Communications

1. The Kentucky Emergency Warning System will function as Kentucky's primary statewide communications network.
2. Communications resources include telephone, facsimile, agency two-way radio systems, e-mail, RACES, Kentucky Educational Television (KET), Emergency Alert System (EAS) and National Public Radio System (NPR).
3. All designated alternate points of operations for the state government are located at or within line of sight of a KEWS, KET or NPR transmitting tower.
4. A mobile communications center, if needed by state government, can be requisitioned from among the local governments operating such equipment.

V. ADMINISTRATIVE SUPPORT

- | | |
|--|--------------|
| A. Western Kentucky University
Director of Security | 270-745-2549 |
| B. Eastern Kentucky University
Manager of Public Safety | 859-622-2821 |
| C. Morehead State University
Manager of Public Safety | 606-783-2035 |
| D. Murray State University
Director of Public Safety | 270-762-4810 |
| E. Somerset Community College
President | 606-679-8501 |

VI. GUIDANCE PUBLICATIONS

- A. Kentucky State Constitution.
- B. Kentucky Government, Legislative Research Commission.
- C. A Citizens' Guide to the Kentucky Constitution, Legislative Research Commission.

APPENDIX A-9
RELOCATION OF THE STATE EOC

I. SITUATION AND ASSUMPTIONS

An emergency at the Kentucky EOC or a natural or man made disaster in the vicinity of the Kentucky EOC may make it uninhabitable. When the Kentucky EOC at Boone Center is uninhabitable, the state must be able to conduct EOC operations at an alternate location.

II. CONCEPT OF OPERATIONS

- A. The Kentucky Government of Technology Building on Cold Harbor Drive has been designated as the primary alternate state EOC.
- B. The University of Kentucky Development Division has been designated as the state's secondary alternate EOC. It has a telephone fund raising center in Room 122 in the William B. Sturgill Building at Rose Avenue and Rose Lane, in Lexington. This center is equipped with 20 workstations with individual phones. Each phone has its own number. The phones are not in series. There is no switchboard. The room has computer jacks and wall space for maps and charts. A kitchen and an office that could be used as a control room are located in Room 122. A parking lot is located in the rear of the building.
1. Located in Room 105 is an area suitable for conferences and news briefings.
 2. The area near Room 122 can easily be secured to prevent unauthorized visitors.
 3. Statewide phone books and three fax machines are located adjacent to Room 122.
 4. Phone lines are not always activated but can be made active in a few hours. There is an 800 line available.
 5. Contact points for activating Room 122 at the William B. Sturgill Building are as follows.
 - a. Development Office (Room 122) 859-257-3911
 - b. Telecommunication 859-257-8772
 - c. U.K. Security 859-257-1616

APPENDIX A-10
KyEM ALTERNATE AREA OFFICES

AREA	CITY	PRIMARY LOCATION	SECONDARY LOCATION
1	Mayfield	Paducah/McCracken EOC	National Guard Armory, Murray
2	Hopkinsville	National Guard Training Site	National Guard Armory, Madisonville
3	Owensboro	National Guard Training Site	National Guard Armory, Henderson
4	Bowling Green	National Guard Armory, Glasgow	National Guard Armory, Russellville
5	Elizabethtown	National Guard Training Site	Kentucky Military Academy at Fort Knox
6	Louisville	KyEM Area 5 Office, Elizabethtown	National Guard Armory, Bardstown
7	Walton	National Guard Armory, Carrollton	KyEM Area 13 Office, Lexington
8	Morehead	KyEM Area 13 Office, Lexington	National Guard Armory, Morehead
9	Prestonsburg	KyEM Area 8 Office, Morehead	National Guard Armory, Ashland
10	Hazard	KyEM Area 9 Office, Prestonsburg	National Guard Armory, Jackson
11	London	National Guard Armory, Barbourville	National Guard Armory, Middlesboro
12	Somerset	KyEM Area 4 Bowling Green	National Guard Armory, Monticello
13	Lexington	National Guard Armory, Richmond	National Guard Armory, Cynthiana
14	Frankfort	KyEM Area 13 Office, Lexington	National Guard Armory, Shelbyville